



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/998,431	11/28/2001	Osamu Kuroda	199372003700

David L. Fehrman  
Morrison & Foerster LLP  
35th Floor  
555 W. 5th Street  
Los Angeles, CA 90013-1024



CONFIRMATION NO. 6293

FORMALITIES LETTER



\*OC000000007365233\*

07/17/2002 MTEKLENI 00000002 031952 09998431

01 FC:102 252.00 CH

Date Mailed: 01/25/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

06/07/2002 SHINASS1 00000045 10150 19998431

FILED UNDER 37 CFR 1.53(b)

01 FC:105 130.00 CH  
02 FC:139 130.00 CH  
03 FC:116 400.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 260.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

205090 TEL 48

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*A copy of this notice MUST be returned with the reply.*

Alia Muslim

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

205090-1648660

COPY OF PAPERS  
ORIGINALLY FILED

PATENT  
Docket No. 199372003700  
Client Ref. 1337835US

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to.  
Assistant Commissioner for Patents, Washington, D C 20231, on May 24, 2002

*Cheryl Y. Price*  
Cheryl Y. Price

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

KURODA

Serial No. 09/998,431

Filing Date: November 28, 2001

For: TRANSFERRING APPARATUS AND  
SUBSTRATE PROCESSING  
APPARATUS

Examiner: Not Assigned

Group Art Unit: Not Assigned

TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In complete response to the Notice to File Missing Parts of Application Under  
37 C.F.R. § 1.53(f) dated January 25, 2002, attached please find:

- ☒ A Combined Declaration and Power of Attorney signed by the inventors and the \$130.00 fee as set forth in 37 CFR 1.16(l)
- ☒ Assignment and Assignment Recordation Cover Sheet
- ☒ Petition for Extension of Time
- ☒ Submission of Formal Drawings (10 sheets)
- ☒ A verified English translation of the application, and the \$130.00 fee as set forth in 37 C.F.R. § 1.17(i).

☒ Supplemental Information Data Sheet

The Assistant Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16 and 1.17 that may be required by this transmittal and associated documents, or to credit any overpayment to **Deposit Account No. 03-1952**, referencing docket no. 199372003700. A duplicate copy of Form PTO/SB/17 is attached.

Respectfully submitted,

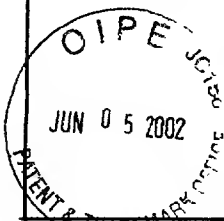
MORRISON & FOERSTER, L.L.P.

Date: May 24, 2002

By: David L. Fehrman  
David L. Fehrman  
Registration No. 28,600  
Attorney for Applicant(s)

555 West 5th Street, Suite 3500  
Los Angeles, California 90071  
Phone: 213-892-5601  
Fax: 213-892-5454

# FEE TRANSMITTAL FOR FY 2002



Patent fees are subject to annual revision.

## Complete if Known

Application Number 09/998,431  
Filing Date November 28, 2001  
First Named Inventor KURODA  
Examiner Name Not Assigned  
Group Art Unit Not Assigned  
Attorney Docket No 199372003700

COPY OF PAPERS  
ORIGINAL FILED

TOTAL AMOUNT OF PAYMENT

(\$)700.00

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

03-1952

Deposit  
Account  
Name

Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)0

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
-20** =	x	= \$	
-3** =	x	= \$	

Multiple Dependent

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claims, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)0

\*\* or number previously paid, if greater; For reissues, see above.

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130 00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	130 00
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	400 00
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	40 00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)700 00

### SUBMITTED BY

Name (Print/Type)

David L. Fehman

Registration No.  
(Attorney/Agent)

28,600

Complete (if applicable)

Telephone

(213) 892-5601

Signature

David L. Fehman

Date

May 24, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231

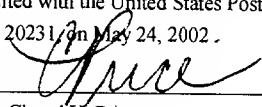
la-574952

COPY OF PAPERS  
ORIGINALLY FILED

PATENT  
Docket No. 199372003700  
Client Reference 133783US

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

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Cheryl Y. Price

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

KURODA

Serial No.: 09/998,431

Filing Date: November 28, 2001

For: TRANSFERRING APPARATUS AND  
SUBSTRATE PROCESSING  
APPARAUS

Examiner: Not Assigned

Group Art Unit: Not Assigned

SUBMISSION OF FORMAL DRAWINGS

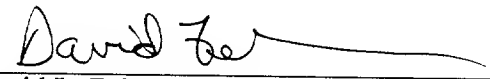
Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed are 10 sheets of formal drawings in connection with the above-identified application.

Respectfully submitted,

Dated: May 24, 2002

By:   
David L. Fehrman  
Registration No. 28,600

Morrison & Foerster LLP  
555 West Fifth Street  
Suite 3500  
Los Angeles, California 90013-1024  
Telephone: (213) 892-5601  
Facsimile: (213) 892-5454



D E C L A R A T I O N

In the matter of U.S. Patent  
Application Ser. No. 09/998,431  
in the name of Osamu Kuroda  
et al.

I, Shigeru TAKEBAYASHI, of Kyowa Patent and Law Office,  
2-3, Marunouchi 3-Chome, Chiyoda-Ku, Tokyo-To, Japan,  
declare and say:

that I am thoroughly conversant with both the Japanese  
and English languages; and,

that the attached document represents a true English  
translation of United States Patent Application Serial No.  
09/998,431 filed on November 28, 2001.

I further declare that all statements made herein of  
my own knowledge are true and that all statements made on  
information and belief are believed to be true; and further  
that these statements were made with the knowledge that  
willful false statements and the like so made are punishable  
by fine or imprisonment, or both, under Section 1001 of Title  
18 of the United States Code, and that such willful false  
statements may jeopardize the validity of the application  
or any patent issued thereon.

Dated: May 22, 2002

Shigeru TAKEBAYASHI

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